



PTO/SB/08A (04-03)

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Substitute for Form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 8

Complete if Known

Application Number	10/565,484
Filing Date	01/17/2006
First Named Inventor	Nai-Kong V. Cheung
Art Unit	1623
Examiner Name	Not Yet Known

Attorney Docket Number 639-C-PCT-US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
Number-Kind Code ² (if known)					
/ESO/	1	US- 3,987,166	10-19-1976	Komatsu et al.	
/ESO/	2	US- 5,622,939	04-22-1997	Jamas et al.	
/ESO/	3	US- 5,980,918	11-09-1999	Barbara K. Klein	
/ESO/	4	US- 5,189,028	02-23-1993	Nikl et al.	
/ESO/	5	US- 4,833,131	05-23-1989	Williams et al.	
/ESO/	6	US- 5,130,127	07-14-1992	Dorothy Herlyn	
/ESO/	7	US- 4,761,402	08-02-1988	Williams et al.	
/ESO/	8	US- 4,818,752	04-04-1989	Williams et al.	
/ESO/	9	US- 5,849,720	12-15-1998	Jamas et al.	
/ESO/	10	US- 6,573,245	06-03-2003	Dante J. Marciani	
/ESO/	11	US- 6,143,883	11-07-2000	Lehmann et al.	
/ESO/	12	US- 6,664,370	12-06-2003	Martin A. Cheever	
/ESO/	13	US- 7,070,778	07-04-2006	Yvin, et al.	
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FOREIGN PATENT DOCUMENTS

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Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)						

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OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/ESO/	14	U.S. Patent Application Publication No. US 2004/0248772 A1 for Akikuni Yagita, December 9, 2004 for "Anticancer Compositions"	
/ESO/	15	U.S. Patent Application Publication No. US 2004/0266726 A1 for Akikuni Yagita, December 30, 2004. "Anticancer Compositions"	
/ESO/	16	U.S. Patent Application Publication No. US 2003/0180254 A1 for Lane et al., September 25, 2003, for "Immunologic Enhancement with Intermittent Interleukin-2 Therapy"	
/ESO/	17	U.S. Patent Application Publication No. US 2004/0109857 A1 for Chu et al., June 10, 2004, for "Methods of Therapy for B-cell Malignancies using Antagonist Anti-CD40 Antibodies"	
/ESO/	18	European Patent Publication No. EP 0194851 A2 for The Wistar Institute et al., September 17, 1986 for "Human tumor therapy".	
/ESO/	19	Japanese Patent Publication No. JP 62252730 A2 for Takeda Chem. Ind. Ltd. et al., November 4, 1987 for "Antitumor Agent"	
/ESO/	20	Japanese Patent Publication No. JP 63307825 A2 for Nippo Beet Sugar MFG Co. Ltd. et al., December 15, 1988 for "Antitumor Agent and Production Thereof".	
/ESO/	21	International Patent Publication No. WO 2004/014320 A2 for Biopolymer engineering, Inc. et al., February 19, 2004 for "Methods of using beta glucan as a radioprotective agent".	
/ESO/	22	International Patent Publication No. WO 2004/14320 A3 for Biopolymer engineering, Inc. et al., February 19, 2004 for "Methods of using beta glucan as a radioprotective", Published with September 2, 2004 International Search Report.	
/ESO/	23	International Patent Publication No. WO 2004/021994 A2 for Biopolymer engineering, Inc. et al., March 18, 2004 for "Cancer therapy using whole glucan particles and antibodies".	

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		Art Unit	1623		
		Examiner Name	Not Yet Known		
Sheet	3	of	8	Attorney Docket Number	639-C-PCT-US

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/ESO/	24	International Patent Publication No. WO 2004/21994 A3 for Biopolymer engineering, Inc. et al., March 18, 2004 for "Cancer therapy using whole glucan particles and antibodies", Published with August 12, 2004 International Search Report.	
/ESO/	25	International Patent Publication No. WO 00/15238 for NABI et al., March 23, 2000 for "Composition of β-glucans and specific IgIV", Published with August 31, 2000 International Search Report.	
/ESO/	26	International Patent Publication No. WO 01/62283 A2 for BIOTECH ASA et al., August 30, 2001 for "Novel, Non-antigenic, Mucosal Adjuvant Formulation which modulates the effects of substances, including vaccine antigens, in contact with mucosal body surfaces".	
/ESO/	27	International Patent Application Publication No. WO 98/39013 for Peregrine Pharmaceutical, Inc. et al., September 11, 1998 for "Composition and Method for Treating Cancer and Immunological Disorders Resulting in Chronic Conditions".	
/ESO/	28	PCT International Preliminary Examination Report for Sloan-Kettering Institute for Cancer Research, Int'l Application No. PCT/US02/01276, Filed January 15, 2002, Dated March 27, 2003.	
/ESO/	29	PCT International Search Report for Sloan-Kettering Institute for Cancer Research, Int'l Application No. PCT/US04/23099, Filed July 16, 2004, Dated February 28, 2005.	
/ESO/	30	PCT International Search Report for Sloan-Kettering Institute for Cancer Research, Int'l Application No. PCT/US04/23099, Filed July 16, 2004, Dated April 14, 2005.	
/ESO/	31	PCT Written Opinion of the International Searching Authority for Sloan-Kettering Institute for Cancer Research, Int'l Application No. PCT/US04/23099, Filed July 16, 2004, Dated April 14, 2005.	
/ESO/	32	PCT International Search Report for Sloan-Kettering Institute for Cancer Research, Int'l Application No. PCT/US02/01276, Filed January 15, 2002, Dated June 5, 2002.	
/ESO/	33	PCT Written Opinion for Sloan-Kettering Institute for Cancer Research, et al, Int'l Application No. PCT/US02/01276, Filed January 15, 2002, Dated November 25, 2002.	

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				First Named Inventor	Nai-Kong V. Cheung
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Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
/ESO/	34	PCT International Preliminary Report on Patentability for Sloan-Kettering Institute for Cancer Research, et al., Int'l Application No. PCT/US2004/023099, Filed July 16, 2004, Dated January 26, 2006.		
/ESO/	35	PCT Corrected Written Opinion of the International Searching Authority for Sloan-Kettering Institute for Cancer Research, et al, Int'l Application No. PCT/US04/23099, Filed July 16, 2004, Dated August 10, 2005.		
/ESO/	36	PCT Corrected International Search Report for Sloan-Kettering Institute for Cancer Research, et al, Int'l Application No. PCT/US2004/23099, Filed July 16, 2004, Dated August 10, 2005		
/ESO/	37	Search Report prepared by the Norwegian Patent Office, dated May 4, 2005		
/ESO/	38	Allendorf et al., "Macrophages shuttle orally administered β -glucan to potentiate the CR3-dependent tumoricidal effects of monoclonal antibodies in mouse tumor models", FASEB Journal, Vol. 17, No. 7, Page C128 (2004).		
/ESO/	39	Arturson, G. et al., "Intravascular Persistence and Renal Clearance of Dextran of Different Molecular Sizes in Normal Children", Arch. Dis. Childh., Vol. 41, Pages 168-172 (1966).		
/ESO/	40	Arturson, G.; Wallenius, G., "The Renal Clearance of Dextran of Different Molecular Sizes in Normal Humans", Scandina J. Clin & Lab Investigation, Vol. 1, Pages 81-86 (1964).		
/ESO/	41	Babineau, T. et al., "A Phase II Multicenter, Double-blind, Randomized, Placebo-Controlled Study of Three Dosages of an Immunomodulator (PGG-Glucan) in High-Risk Surgical Patients", Arch. Surg., Vol. 129, Pages 1204-1210(1994).		
/ESO/	42	Babineau, T. et al., "Randomized Phase I/II Trial of a Macrophage-Specific Immunomodulator(PGG-Glucan) in High-Risk Surgical Patients", Annals of Surgery, Vol. 220, No.5, Pages 601-609(1994).		
/ESO/	43	Basic and Clinical Pharmacology, 7th edition 1998, Bertram G. Katzung, pp.881-884		

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/ESO/	44	Cheung, N.; Modak, S., "Oral (1-3),(1-4)- β -D-Glucan Synergizes with Antiganglioside GD2 Monoclonal Antibody 3F8 in the Therapy of Neuroblastoma", Clinical Cancer Research, Vol. 8, Pages 1217-1223 (2002).	
/ESO/	45	Cheung, N.K. et al., "Orally administered β -glucans enhance anti-tumor effects of monoclonal antibodies", Cancer Immunol Immunother. 2002 Nov; 51(10):557-564.	
/ESO/	46	Chihara, G. et al., "Antitumor and Metastasis-Inhibitory Activities of Lentinan as an Immunomodulator: An Overview", Cancer Detection and Prevention Supplement Vol. 1, Pages 423-443(1987).	
/ESO/	47	Dellinger, E., et al., "Effect of PGG-glucan on the Rate of Serious Postoperative Infection or Death Observed After High Risk Gastrointestinal Operations", Arch. Surg., Vol 134, Pages 977-983(1999).	
/ESO/	48	Hanaue, H. et al., "Basic Studies on Oral Administration of Lentinan (I)", J. Jpn. Soc. Cancer Ther., Vol. 8, Pages 1566-1571(1989).	
/ESO/	49	Hanaue, H., Y. Tokuda, T. Machimura, A. Kamijoh, Y. Kondo, K. Ogoshi, H. Makuuchi, H. Nakasaki, T. Tajima, and T. Mitomi. 1989. "Effects of oral lentinan on T-cell Subsets in Peripheral Venous Blood". Clin. Ther. 11:614-622.	
/ESO/	50	Hayakawa, K., N. Mitsuhashi, Y. Saito, M. Takahashi, S. Katano, K. Shiojima, M. Furuta, and H. Niibe. 1993. "Effect of Krestin (PSK) as Adjuvant Treatment on the Prognosis after Radical Radiotherapy in Patients with Non-small Cell Lung Cancer". Anticancer Res. 13:1815-1820.	
/ESO/	51	Hong et al., "Mechanism by Which Orally Administered β -1,3-Glucans Enhance the Tumoricidal Activity of Antitumor Monoclonal Antibodies in Murine Tumor Models", The Journal of Immunology, Vol. 173, No. 5, Pages 797-806 (2004).	
/ESO/	52	Hotta, H., K. Hagiwara, K. Tabata, W. Ito, and M. Homma. 1993. "Augmentation of protective immune responses against Sendai virus infection by fungal polysaccharide schizophyllan". Int. J. Immunopharmacol. 15:55-60	
/ESO/	53	Morinaga, H., K. Tazawa, H. Tagoh, A. Muraguchi, and M. Fujimaki. 1994. "An in vivo study of hepatic and splenic interleukin-1 β mRNA expression following oral PSK or LEM administration". Gann 85:1298-1303	

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/ESO/	54	Nanba, H. 1995. "Activity of Maitake D-fraction to Inhibit Carcinogenesis and Metastasis". Ann. N. Y. Acad. Sci. 768:243-245	
/ESO/	55	Nanba, H. and H. Kuroda. 1987. "Antitumor Mechanisms of Orally Administered Shiitake Fruit Bodies". Chem. Pharm. Bull. (Tokyo) 35:2459-2464	
/ESO/	56	Nanba, H. and H. Kuroda. 1988. "Potentiation of Host-Mediated Antitumor Activity by Orally Administered Mushroom (Agaricus bispora) Fruit Bodies". Chem. Pharm. Bull. (Tokyo) 36:1437-1444.	
/ESO/	57	Hishida, I., H. Nanba, and H. Kuroda. 1988. "Antitumor Activity Exhibited by Orally Administered Extract from Fruit Body of Grifola frondosa (Maitake)". Chem. Pharm. Bull (Tokyo) 36:1819-1827	
/ESO/	58	Iino, Y., T. Yokoe, M. Maemura, J. Horiguchi, H. Takei, S. Ohwada, and Y. Morishita. 1995. "Immunochemotherapies versus Chemotherapy as Adjuvant Treatment after Curative Resection of Operable Breast Cancer". Anticancer Res. 15:2907-2912.	
/ESO/	59	Kidd, P., "The Use of Mushroom Glucans and Proteoglycans in Cancer Treatment", Alternative Medicine Review, Vol. 5, No. 1, Pages 4-27(2000).	
/ESO/	60	Mayer, L.; Shao, L., "Therapeutic Potential of Oral Tolerance", Nature Reviews Immunology, Vol. 4, Pages 407-419(2004).	
/ESO/	61	Mehvar, R., "Recent Trends in the Use of Polysaccharides for Improved Delivery of Therapeutic Agents: Pharmacokinetic and Pharmacodynamic Perspectives", Current Pharmaceutical Biotechnology, Vol. 4, Pages 283-302(2003).	
/ESO/	62	Nanba, H., K. Mori, T. Toyomasu, and H. Kuroda. 1987. "Antitumor action of shiitake (Lentinus edodes) fruit bodies orally administered to mice". Chem. Pharm. Bull. (Tokyo) 35:2453-2458	
/ESO/	63	Ohmori, T., K. Tamura, A. Wakaiki, G. Kawanishi, S. Tsuru, T. Yadomae and K. Nomoto. 1988. "Dissociation of a Glucan Fraction (CO-1) from Protein-bound Polysaccharide of Cordyceps ophioglossides and Analysis of its Antitumor Effect". Chem. Pharm. Bull. (Tokyo) 36:4512-4518	

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/ESO/	64	Ostroff et al., "Immune-Enhancing Effects of Oral Yeast β 1,3/1,6 Glucans", American Chemical Society, Vol. 225, No.1-2, pp. AGFD 8 (2003).	
/ESO/	65	Papila et al., "The Effect of Oral β -glucan in Addition to Systemic Chemotherapy on the Leukocyte Values and Oral Mucositis in the Patients with Head-neck Tumors", International Review of Allergology & Clinical Immunology, Vol 10, No.2, Pages 59-61(2004).	
/ESO/	66	Ross, et al., "Therapeutic intervention with complement and β -glucan in cancer", Immunopharmacology 42(1999), 61-74.	
/ESO/	67	Sakurai, T., K. Hashimoto, I. Suzuki, N. Ohno, S. Oikawa, A. Masuda, and T. Yadomae. 1992. "Enhancement of Murine Alveolar Macrophage Functions by Orally Administered β -glucan". Int. J. Immunopharmacol. 14:821-830.	
/ESO/	68	Shimazu, H. et al., "Intravenous chronic toxicity of lentinan in rats: 6-month treatment and 3-month recovery (author transl.)", National Library of Medicine (PubMed), J Toxicol Sci., Pages 33-57 (1980).	
/ESO/	69	Sortwell, R. et al., "Chronic Intravenous Administration of Lentinan to the Rhesus Monkey", Toxicology Letters, Vol. 9, Pages 81-85 (1981).	
/ESO/	70	Suzuki, et al., "Effect of orally administered β -glucan on macrophage function in mice". Int. J. Immunopharmacology 12:6, 675-684, 1990.	
/ESO/	71	Suzuki, M. et al., "Antitumor and Immunological Activity of Lentinan in Comparison with LPS", International Society for Immunopharmacology, Pages 463-468(1994).	
/ESO/	72	Suzuki, I., K. Hashimoto, N. Ohno, H. Tanaka, and T. Yadomae. 1989. "Immunomodulation by Orally Administered β -glucan in Mice". Int. J. Immunopharmacol. 11:761-769.	
/ESO/	73	Suzuki, I., T. Sakurai, K. Hashimoto, S. Oikawa, A. Masuda, M. Ohsawa, and T. Yadomae. 1991. "Inhibition of Experimental Pulmonary Metastasis of Lewis Lung Carcinoma by Orally Administered β -glucan in Mice". Chem. Pharm. Bull. (Tokyo) 39:1606-1608	

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		Filing Date	01/17/2006
		First Named Inventor	Nai-Kong V. Cheung
		Art Unit	1623
		Examiner Name	Not Yet Known
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/ESO/	74	Tsukagoshi, S., Y. Hashimoto, G. Fujii, H. Kobayashi, K. Nomoto, and K. Orita. 1984. "Krestin (PSK)", Cancer Treat. Rev. 11:131-155		
/ESO/	75	Vetvicka, et al. "Pilot Study: Orally-administered Yeast Beta 1,3-glucan Prophylactically protects against anthrax infection and cancer in mice". Journ. Ameri. Nutraceutical Assoc., Vol. 5:2, April 22, 2002.		
/ESO/	76	Vetvicka, V., B.P. Thornton and G.D. Ross, "Soluble β -Glucan Polysaccharide Binding to the Lectin Site of Neutrophil or Natural Killer Cell Complement Receptor Type3 (CD11b/CD18) Generates a Primed State of the Receptor Capable of Mediating Cytotoxicity of iC3b-Opsonized Target Cells". J. Clin. Invest., 98:50-61, 1996.		
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/ESO/	78	Yan, J. et al., " β -Glucan, a "Specific" Biologic Response Modifier That Uses Antibodies to Target Tumors for Cytotoxic Recognition by Leukocyte Complement receptor Type 3 (CD11b/CD18)". The Journal of Immunology, 163:3045-3052, 1999.		

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